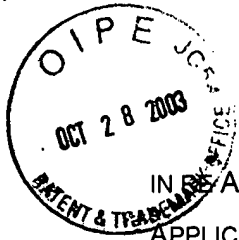


All
11/56/03
#5

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: DARIN L. PETERSON *ET AL.*
APPLICATION No.: 10/035,375
FILED: NOVEMBER 1, 2001
FOR: **METHODS AND APPARATUS FOR
RETAINING A TRAY STACK HAVING A
PLURALITY OF TRAYS FOR CARRYING
MICROELECTRONIC DEVICES**

EXAMINER: JANICE LEE KRIZEK
ART UNIT: 3652
CONF. No: 2472

Supplemental Information Disclosure Statement
After First Office Action but Before Final Action or
Notice of Allowance – 37 C.F.R. § 1.97(c)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Timing of Submission

The information transmitted herewith is being filed *after* three months of the filing date of this application or after the mailing date of the first Office action on the merits, whichever occurred last, but *before* the mailing date of either a final action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, whichever occurs first. The references listed on the enclosed Form PTO-1449 (modified) may be material to the examination of this application; the Examiner is requested to make them of record in the application.

2. Cited Information

- ☒ Copies of the following references are enclosed:
- ☐ All cited references
 - ☒ References marked by two asterisks (**)
- ☒ Copies of the following references can be found in parent U.S. Application No. 09/420,659:
- ☐ All cited references
 - ☒ References marked by a pound sign (#)
- ☒ The publication date, if any, for the following reference is unknown, but is believed to be prior to October 19, 1999:
- ☒ Reference marked by an ampersand (&)

10/30/2003 CNGUYEN 00000137 10035375

01 FC:1806

180.00 OP

3. Effect of Information Disclosure Statement (37 C.F.R. § 1.97(h))

This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the cited information is, or is considered to be, material to patentability. In addition, applicant does not admit that any enclosed item of information constitutes prior art to the subject invention and specifically reserves the right to demonstrate that any such reference is not prior art.

4. Fee Payment (37 C.F.R. § 1.97(c)) or Certification (37 C.F.R. § 1.97(e))

- ☒ Applicant elects to pay the fee under 37 C.F.R. § 1.17(p) \$180.00.
- ☒ Check enclosed for \$180.
- ☐ Please charge the above fee(s) to Deposit Account No. 50-0665 this paper is provided in triplicate.
- ☐ Applicant submits that no fee is due in light of the following certification under 37 C.F.R. § 1.97(e) (check only one):
- ☐ In accordance with 37 C.F.R. § 1.97(e)(1), the undersigned hereby states that each item of information submitted herewith was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to this filing of this statement; or
- ☐ In accordance with 37 C.F.R. § 1.97(e)(2), the undersigned hereby states that no item of information submitted herewith was cited in a communication from a foreign patent office in a counterpart foreign application, or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of this statement.
- ☒ Please charge any underpayment for timely filing of this paper to Deposit Account No. 50-0665.

5. Patent Term Adjustment (37 C.F.R. § 1.704(d))

- ☐ The undersigned states that each item of information submitted herewith was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this statement. 37 C.F.R. § 1.704(d).

Respectfully submitted,
Perkins Coie LLP

Date: 10/27/2003

P. T. Parker
Paul T. Parker
Registration No. 38,264

Correspondence Address:

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Perkins Coie LLP
P.O. Box 1247
Seattle, Washington 98111-1247
(206) 359-8000



Express Mail No. EV30519681US

Attorney Docket No. 108298352US3
Disclosure No. 98-0689.03

PTO/SB/21 (05-03)

Approved for use through 04/30/2003. OMB 0651-00321

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/035,375	
	Filing Date	November 1, 2001	
	First Named Inventor	Darin L. Peterson	
	Art Unit	3652	
	Examiner Name	Janice Lee Krizek	
Total Number of Pages in This Submission	6*	Attorney Docket Number	108298352US3

ENCLOSURES (Check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) Remarks	<input type="checkbox"/> After Allowance communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosures: Cited References (5) Check Return Receipt Postcard OCT 31 2003 GROUP 3600
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Paul T. Parker Registration No. 38,264
Signature	<i>P T Parker</i>
Date	October 27, 2003

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name			
Signature		Date	

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

* - Number of Pages does not include Cited References

Express Mail No. EV30519681US

Attorney Docket No. 108298352US3
Disclosure No. 98-0689.03

PTO/SB/17 (05-03)

Approved for use through 04/30/2004. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL
for FY 2003

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$180****Complete if Known**

Application Number	10/035,375
Filing Date	November 1, 2001
First Named Inventor	Darin L. Peterson
Examiner Name	Janice Lee Krizek
Art Unit	3652
Attorney Docket No.	108298352US3

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit card ☐ Money ☐ Other ☐ None
Order☒ Deposit Account:

Deposit Account Number: 50-0665

Deposit Account Name: Perkins Coie LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any underpayments during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code		
1001 770 2001 385		Utility filing fee	
1002 340 2002 170		Design filing fee	
1003 530 2003 265		Plant filing fee	
1004 770 2004 385		Reissue filing fee	
1205 160 2005 80		Provisional filing fee	

SUBTOTAL (1) (\$) 0**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** = X	=	
Multiple Dependent	- 3** = X	=	

Large Entity Small Entity

Fee Code	Fee Code	Fee Code	Fee Code	Fee Description
1202 18 2202 9				Claims in excess of 20
1201 86 2201 43				Independent claims in excess of 3
1203 290 2203 145				Multiple dependent claim, if not paid
1204 86 2204 43				** Reissue independent claims over original patent
1205 18 2205 9				** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code		
1051 130 2051 65		Surcharge - late filing fee or oath	
1052 50 2052 25		Surcharge - late provisional filing fee or cover sheet	
1053 130 2053 130		Non-English Specification	
1812 2,520 1812 2,520		For filing a request for <i>ex parte</i> reexamination	
1804 920* 1804 920*		Requesting publication of SIR prior to Examiner action	
1805 1,840* 1805 1,840*		Requesting publication of SIR after Examiner action	
1251 110 2251 55		Extension for reply within first month	
1252 420 2252 210		Extension for reply within second month	
1253 950 2253 475		Extension for reply within third month	
1254 1,480 2254 740		Extension for reply within fourth month	
1255 2,010 2255 1,005		Extension for reply within fifth month	
1401 330 2401 165		Notice of Appeal	
1402 330 2402 165		Filing a brief in support of an appeal	
1403 290 2403 145		Request for oral hearing	
1451 1,510 1451 1,510		Petition to institute a public use proceeding	
1452 110 2452 55		Petition to revive - unavoidable	
1453 1,330 2453 665		Petition to revive - unintentional	
1501 1,330 2501 665		Utility issue fee (or reissue)	
1502 480 2502 240		Design issue fee	
1503 640 2503 320		Plant issue fee	
1460 130 1460 130		Petitions to the Commissioner	
1807 50 1807 50		Processing fee under 37 CFR 1.17(q)	
1806 180 1806 180		Submission of Information Disclosure Stmt	180
8021 40 8021 40		Recording each patent assignment per property (times number of properties)	
1809 770 2809 385		Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770 2810 385		For each additional invention to be examined (37 CFR 1.129(b))	
1801 770 2801 385		Request for Continued Examination (RCE)	
1802 900 1802 900		Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type) Paul T. Parker Registration No. 38,264 Telephone (206) 359-3258

Signature *Paul T. Parker* Date 10/27/03**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.